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Audit Report & Rec #	Recommendation	Division Stance	MAP – Management Action Plan	Person Responsible for MAP	Target Date	Comments/Status
LAD # 06DP-05 Rec #1	<p>We recommend the Department:</p> <p>A. Maintain and update the inventory of equipment, systems, and data residing in the data center.</p> <p>B. Coordinate with all agencies that have hosted systems in the data center to rank the system’s criticality and establish a priority for the order in which systems will be brought back up.</p>	Concur	<p>A. The currently-fragmented inventories of equipment, systems and data will be consolidated, updated and maintained. Near-term: Centralized Technical Services will address the issues. Long-term: the Configuration DB within ITSD’s Service Mgmt System will be the single reference point for this information.</p> <p>A division policy will be drafted requiring staff to maintain inventory records as part of routine work processes.</p> <p>B. The Department will work with agencies on “Continuity of Government (COG)/Continuity of Operations (COOP)” plans, and will pay particular attention to their recovery plan for critical systems residing in the data center.</p> <p>Development of a “48 Hour” tactical plan is</p>	<p>Dave Harris</p> <p>Dawn Pizzini</p> <p>Jeff Brandt</p> <p>Pat Boles</p>	<p>9/30/06</p> <p>7/1/07</p> <p>10/31/06</p> <p>ongoing</p> <p>9/30/06</p>	

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	<p>C. Evaluate existing threats to the data center including the potential impact or harm.</p> <p>D. Conduct a cost analysis associated with implementing or improving controls.</p> <p>E. Define the responsibility for, and coordinate with agencies to utilize the existing software package to develop disaster recovery plans.</p>		<p>already underway to assure business priorities are clear during disruptions of systems services</p> <p>C. The Department will conduct a threat and impact assessment for the data center by participating in the Capitol complex vulnerability assessment scheduled for July.</p> <p>D. A cost analysis will be conducted for implementing or improving controls.</p> <p>E. The Department will clarify and communicate its responsibilities to its staff and other stakeholders as follows:</p> <ul style="list-style-type: none"> o The General Services Division (GSD) is responsible for coordination of agency disaster recovery planning. o The Information Technology Services Division 	<p>Pat Boles</p> <p>Pat Boles & Doug Volesky</p> <p>Sheryl Olson</p>	<p>8/31/06</p> <p>TBD based on the results of "C"</p> <p>7/1/06</p>	<p>Discussed with Deputy Director 7/7/06. Initial draft prepared 7/7/06 Complete: Email letter sent to all agency heads on July 14</p>

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			(ITSD) provides software support for the program. The Department has prepared an EPP for technical support of this software the upcoming budget cycle.			
LAD # 06DP-05 Rec #2	<p>We recommend the Department</p> <p>A. Implement safeguards such as locked doors in the Mitchell Building hallways or completed walls on the perimeter of the data center to restrict physical access to the data center.</p> <p>B. Implement procedures and assign responsibilities to ensure background checks are completed.</p>	Concur	<p>A. Department divisions will work together to identify and implement, where appropriate, data center physical access restrictions.</p> <p>B. The Department will implement a procedure that will assure required background checks are</p>	<p>Mike Boyer & Doug Olson</p> <p>Pat Boles</p>	<p>Target date to identify potential controls: 10/31,2006. Implementation dates will depend on specific improvements identified and their priority sequence in an overall plan.</p> <p>9/30/06</p>	

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			performed for individuals and positions that handle sensitive information housed in the data center.			
	C. Follow policy and maintain required authorization documentation on file for each individual who has card access to the data center.		C. The Department will maintain card key authorization documentation as recommended.	Pat Boles	Immediately	
	D. Conduct a periodic review of all key card access to the data center to confirm appropriateness.		D. The Department will formalize the access card review frequency and process.	Pat Boles	8/31/06	
	E. Monitor and review the card key activity logs and data center visitor logs for inappropriate or unauthorized access.		E. The Department will review the logs as recommended. The Department will also establish and communicate guidelines for visitor access to the data center.	Pat Boles	7/15/06	
	F. Develop a system to ensure operator awareness of physical security breaches.		F. The Department will develop a system to ensure data center operators are alerted of physical security breaches. Note: all data center weekend shifts, all midnight shifts, and half the evening shifts are staffed with a single operator. Their duties require them to	Mike Boyer	7/15/06 for EPP prep. Implementation - TBD	EPP for video security sent to Doug Volesky, et al on 7/18/06

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			be away from the console area for significant periods of time. Prompt response to an intruder alert will require additional staff. This gives further weight to an existing EPP for additional operator staffing. The Department will prepare a surveillance equipment plan and EPP request.			.
LAD # 06DP-05 Rec #3	We recommend the Department strengthen safeguards to mitigate the risks associated with earthquake and water-related threats.	Concur	<p>During the budget planning process for FY06-07, the Department submitted an EPP for earthquake dampening devices for data center equipment to provide protection during “non-catastrophic” earthquakes. That proposal did not survive the previous budget process. The Department will resubmit that EPP to provide a measure of earthquake protection. .</p> <p>The Department has installed new water-sensing and alert equipment in the data center. .</p>	Mike Boyer	7/1/06	Revised EPP prepared 6/29/06 and sent to Doug Volesky, Jeff Brandt; Steve Bender, Dick Clark for processing as needed.
LAD # 06DP-05 Rec #4	We recommend the Department: A. Maintain an updated statewide disaster recovery plan.	Concur	A. GSD has oversight responsibility for the COG plan.	Marv Eicholtz	<i>See response to Recommendation#1 (E) for communicati</i>	

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	B. Coordinate with the Governor's office to request that agencies assign a higher priority to disaster recovery.		<p>ITSD is responsible for developing and maintaining the disaster recovery plan for ITSD equipment and services. ITSD is also responsible to provide technical support for the software tool used to develop and maintain COOP plans on a statewide basis.</p> <p>B. The Governor's office has placed a high priority on disaster recovery and set expectations for agency participation in COG/COOP planning efforts.</p>	<p>Pat Boles</p> <p>Dick Clark</p>	<p><i>on tasks</i></p> <p>3/1/07 & ongoing</p> <p>on-going</p>	
LAD # 06DP-05 Rec #5	We recommend the Department clearly define and designate responsibility for coordination of all aspects of data center security.	Concur	The Department will clearly define and designate responsibility for coordination of all aspects of data center security	Dick Clark	7/15/06	Discussed with Sheryl Olson 7/7/06.